

**USAID Global Climate Change Program
Reporting Guidance**

For the FY 2003 Annual Report

November 2003

This Reporting Guidance applies to all USAID Mission, Regional, and Global programs that attributed funds toward global climate change activities taking place in FY 2003 (October 1, 2002 through September 30, 2003).

**Global Climate Change Team
Bureau for Economic Growth, Agriculture, and Trade
U.S. Agency for International Development**

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USAID Climate Change Program
FY03 Reporting Guidance

PART I. INTRODUCTION

This guidance requests results from activities achieved during FY 2003 (October 1, 2002 through September 30, 2003). This year's reporting is the sixth round for most operating units. The Climate Change Team draws heavily on this information to respond to Congressional, State Department, White House, and other requests, and to highlight the achievements of the program as a whole.

According to Agency policy, **all operating units attributing funding to the Climate Change Program must prepare a Climate Change Annex to their ANNUAL REPORT.** The Annex mandates: (1) a Narrative of key accomplishments (pg. 5), and (2) Data Tables providing information on climate change indicators (pg. 6). Electronic versions of both the narrative and data tables should be sent no later than Feb. 15, 2004 to cstokes@usaid.gov.

Important Notes:

- Please provide information about **policy achievements** in the GCC narrative. This format eliminates the tables for policy advances (used in previous years) and allows you to describe in more detail the factors that contributed to any significant achievements.
- Please provide a "human interest story" that highlights the positive impacts of a project/activity on a person, family, or community that USAID has supported. This category is optional but important because it allows you to be creative in telling an interesting story of how USAID is affecting lives with projects that address sustainable development and climate change. The best and most complete stories will be highlighted in the final report of the Agency's climate change activities.
- Operating units should report on as many indicators as possible.

For additional information or assistance with reporting for the CCI, please contact:

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Who Must Report - Operating Units Required to Report FY03 GCC Activities

This guidance applies to all USAID operating units attributing resources to climate change-related activities in FY03 under the Climate Change Program. The following programs were provided to Congress by the Office of Management and Budget.

AFR Region

Central Africa Regional Program for the Environment (CARPE)
FEWS
Guinea
Madagascar
Malawi
Mali
Mozambique
Namibia
ISA
REDSO/ESA
Senegal
South Africa
WARP
Uganda

ANE Region

Bangladesh
Egypt
India
Indonesia
Nepal
Philippines
South Asia Regional Initiative (SARI) - Energy
U.S.-Asia Environmental Partnership (US-AEP)

E&E Region

Albania
Armenia
Bulgaria
CEE Regional
Central Asia Republics (CAR)
Croatia
Georgia
Moldova
NIS Regional
Romania
Russia
Ukraine

LAC Region

Bolivia
Brazil
Central America Program (G-CAP)
Dominican Republic
Ecuador
Guatemala
Honduras
LAC/RSD
Mexico
Nicaragua
Panama
Paraguay
Peru

EGAT

AG
EIT
ESP
NRM

DCHA

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PART II. PREPARING THE NARRATIVE

All reporting units that attribute funds to the USAID Climate Change Program must provide a narrative (maximum 4 pages) summarizing accomplishments of their climate change activities in FY03. The Climate Change Team draws heavily on these narratives when preparing the Agency's overall climate change report and when opportunities arise to tell our story. Please follow the narrative template provided, and ensure that the narrative reflects the information provided in the indicator tables.

PART III. PREPARING INDICATOR DATA TABLES

Introduction. This part of the reporting guidance provides instructions for completing data tables. Data tables are provided separately from these instructions as a *Microsoft Excel* file. There are six tables, one for each indicator:

1. Increased participation in the UN Framework Convention on Climate Change (UNFCCC)
2. Reduced greenhouse gas emissions from the land use/forest management sector
3. Leveraged funding for land use activities
4. Reduced greenhouse gas emissions from the energy sector, industry and urban areas
5. Leveraged funding for activities in energy, industry, and urban sectors
6. Reduced vulnerability to the impacts of climate change.

These instructions describe the method for reporting under each table, including such information as the unit of measurement, definitions of terms, codes for use in the data tables, and reporting examples.

Data Entry. Please fill in only the **yellow cells** of each table, as appropriate. Cells in gray provide **examples** of properly entered data.

Viewing the Data Tables in Microsoft Excel. If part of the table is off the screen, you can move the table from right to left on the screen using the *horizontal* scroll bar (near the bottom of the screen to the right). Depending on the size of your computer monitor, it may be necessary to adjust the “view” of some spreadsheets to better view the text of the data tables, or to view more of the table at once. To do so, click on the “Zoom” box on the right-hand side of the toolbar. Select the appropriate size, or type the number in by hand, depending on your preference.

Scrolling through the Data Tables. Each data table is contained on a single spreadsheet. Tabs for each spreadsheet are shown near the bottom of the screen. You can use tabs to select each spreadsheet as you complete each table.

Incremental (Annual) Reporting. Please report the accomplishments that were achieved during FY03 as a result of USAID support.

Examples: **Land Use/Forestry:** In table 2, a Mission should report the total number of hectares where it has been active in FY03. Thus, if a Mission's activities produced results in 109,000 hectares of a biosphere reserve in FY01, and in 125,000 hectares of the same reserve in FY02, the Mission should report the total 125,000 hectares for FY02.

Energy Sector: In table 4, a Mission may report that an ongoing project saved 5,500 MW-h through energy efficiency improvements during FY03, but does not need to report the total savings over the life of the project up to that point in time.

Leveraged funding: In tables 3 and 5, a Mission should report funding leveraged in FY03

only, not cumulatively over a longer period.

BACKGROUND INFORMATION

Instructions: Please provide background and contact information in the *Background Table*. This information is essential for follow-up coordination and communication on climate change reporting between AID/W and reporting units.

TABLE 1 - CAPACITY

Increased Capacity to Meet Requirements of the UNFCCC

Instructions: This table tracks capacity building effort by tracking activities relating to UNFCCC participation, land use/forestry, and the energy/industrial/urban sectors. It requests information about technical assistance and training, the types of institutions strengthened, and the S.O. number associated with these activities. If an activity category involves both training and technical support activities, combine the numbers for both training and technical assistance and enter the total number of activities in the column.

TABLE 2 - LAND USE

Area where USAID has initiated interventions to maintain, increase, or reduce the rate of loss of carbon stocks

Instructions: Table 2 identifies activities where USAID has initiated land use and forestry activities. In this table, please indicate the activity name, the location of the activity, results for the indicator, the appropriate SO numbers for each activity, and a short description of the activity. Under the Indicator column, enter the appropriate code for principal activity type and vegetation type. Codes are defined below.

Unit: Hectares

Please report the area (in hectares) where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss. These activities include on-the-ground carbon impacts that may or may not have been realized, including *one or more* of the following:

- developing resource or land management plans;
- engaging community or household participation in program implementation;
- initiating resource management;
- putting monitoring and evaluation systems in place; and
- addressing site-specific policy constraints

Definitions of Land Use Activity Types:

Conservation of Natural Ecosystems - Conservation of any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but *not* those that are managed for timber.

Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH) - A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven

to minimize environmental damage and carbon emissions during the logging of natural tropical forest.

To be included as RIH, an activity must include most of the following practices:

- tree inventorying, marking and mapping;
- careful planning and marking of skidder trails;
- vine cutting prior to harvest, where appropriate;
- directional felling of trees;
- appropriate skidding techniques that *employ winching* and best available equipment (rubber tired skidder/animal traction) to minimize soil damage;
- proper road and log deck construction;
- a trained work force and implementation of proper safety practices;
- fire mitigation techniques (fire breaks);
- existence of a long-term management plan.

Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been “certified” as environmentally sound by a recognized independent party. *Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).*

Agroforestry covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the *deliberate* growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is *significant interaction* between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).

Report the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). *Do not include agroforestry systems being established on forestlands that were deforested since 1990.*

Reforestation/Afforestation - The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes.

Report the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). *Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).*

Sustainable Agriculture - Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven agricultural practices known to reduce carbon transport or emission. This will require consideration of soil, water and nutrient/crop management. *Do not include agricultural systems being established on lands deforested since 1990.* For reporting purposes, sustainable agriculture systems are those that employ or promote *at least three* of the following:

- no-tillage or reduced tillage
- erosion control/soil conservation techniques, especially on hillsides
- perennial crops in the system

- higher crop yields through better nitrogen and soil management
- long-term rotations with legumes
- the use of organic mulches, crop residues and other organic inputs into the soil
- better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals, which increase emissions.

Codes for Table 2

For each site where USAID has initiated activities, choose an activity code from the list below to best describe your program. *If more than one activity code applies to a site, please use a separate row to describe each activity.* (Note: for agroforestry and sustainable agriculture activities, there is no need to enter a vegetation type code.)

Codes for USAID-Supported Activities

- 1 Conservation of natural ecosystems (may include protected area management, extraction of non timber products, etc. but *not* timber harvesting)
- 2 Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)
- 3 Afforestation/reforestation/plantation forests
- 4 Agroforestry
- 5 Sustainable agriculture

Codes for Predominant Vegetation Types

Ecosystems:

- a Tropical evergreen forest
- b Tropical seasonal forest
- c Temperate evergreen forest
- d Temperate deciduous forest
- e Boreal forest
- f Temperate woodland
- g Tropical open forest/woodland
- h Tropical grassland and pasture
- i Temperate grassland and pasture
- j Tundra and alpine meadow
- k Desert scrub
- l Swamp and marsh
- m Coastal mangrove
- n Wetlands
- o Mediterranean forest / vegetation

TABLE 3 - LAND USE FUNDING

Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions

Unit: U.S. dollars

Instructions: Please provide the dollars directly leveraged through agreements with USAID partners in the land use and forestry sectors. For each activity, include a description (title) of the activity, the source of leveraged funds (i.e., name of partner), the amount of funding leveraged, and the SO numbers for that activity. *Due to the variety of ways that dollars leveraged may be calculated, please include a brief*

description of your methodology. Please refer to list of definitions on the following page for guidance on how to report public and private investment leveraged in the land use/forestry sector.

Types of Directly Leveraged Funding

Funding leveraged directly in support of USAID activities and programs includes:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

TABLE 4 - EMISSIONS AVOIDED

Emissions of Carbon Dioxide (CO₂) Equivalents Avoided, due to USAID Assistance (measuring Carbon Dioxide, Methane, and Nitrous Oxide)

Unit: MW-hrs or BTUs (AID/W will convert to metric tons of carbon dioxide equivalents avoided)

Instructions: For each activity entered in this table, write a brief description of the activity in the first column, and write the result in the appropriate reporting columns that corresponds to this activity. For the first four columns concerning CO₂ emissions avoided, please report data relating to *either* MW-hrs *or* BTUs produced, and then the fuel type replaced. For the next 2 columns, please indicate the metric tons of methane captured or nitrous oxide avoided, respectively. USAID/W will make the necessary conversions from these results to obtain the metric tons of carbon dioxide equivalents avoided. Also, please indicate the SO number for each activity.

TABLE 5 - ENERGY FUNDING

Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions

Unit: U.S. Dollars

Instructions: Please provide the dollars directly leveraged through agreements with USAID partners in the energy sector, industry, and urban areas. For each activity, include a description (title) of the activity, the source of leveraged funds (i.e., name of partner), and the amount of funding leveraged. *Due to the variety of ways that dollars leveraged may be calculated, please include a brief description of your methodology.* Please refer to the following list of definitions for guidance on how to report public and private investment leveraged in the energy sector. Also, please indicate the SO number for each activity.

Types of Directly Leveraged Funding

Funding leveraged directly in support of USAID activities and programs includes:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

TABLE 6 - VULNERABILITY AND ADAPTATION
Reduced Vulnerability to Impacts of Climate Variability and Change

Instructions: This indicator is meant to provide general information about USAID programs that reduce vulnerability to the impacts of climate variability and change. There are seven categories: coastal resources, water resources, agriculture and food security, biodiversity, human health, urban, and natural resource management. Definitions and codes for each are provided below as well as in the table. We recognize that there may be some overlap between each area. Please include each activity in only one place and include a reference to other relevant categories in your brief description.

Definitions of Categories

Coastal Resources (CR) - Programs that reduce the vulnerability of coastal populations to accelerated sea level rise or other environmental changes associated with climate change (e.g., sea surface temperatures, storm-surge, resource predictability).

Water Resources (WR) –Programs that increase ability to manage variability in water resources due to climate (e.g. drought, flooding, desertification)

Agriculture and Food Security (AFS) - Programs that increase resilience of agriculture and food systems to changes in temperature, water availability, pest and pathogen prevalence, soil moisture and other changes in environmental parameters

Biodiversity (BD) - Programs that increase resiliency of natural ecosystems to climate change

Human Health (HH) - Programs that reduce vulnerability of human health to climate change impacts

Urban (U) - Programs that increase resiliency of urban infrastructure and service delivery to impacts of climate change

Natural Resource Management (NRM) - Programs that increase resiliency of forested or rangeland ecosystems to climate variability

Codes for Tracking and Recording Vulnerability Programs

| Category | Program Types |
|-----------------------------|--|
| Coastal Resources | <p>A. Improved ecosystem resiliency to climatic variability, eg. marine protected areas and fisheries reserves</p> <p>B. Improved capacity for coastal management (zoning schemes, coastal set-backs, coastal watershed management)</p> <p>C. Protection of critical habitats (eg. coral reefs, mangroves, estuaries, sand dunes) that function as buffers to sea-level rise and storm-surge.</p> <p>D. Early warning system</p> |
| Water Resources | <p>E. Seasonal climate forecasting</p> <p>F. Improved management of water demand / water use efficiency</p> <p>G. Improved management of water supply: groundwater aquifers, reservoirs, hydropower</p> |
| Agriculture & Food Security | <p>H. Crop diversification (drought-tolerant and disease-tolerant crops)</p> <p>I. Famine early warning system / modelling climate impacts on agriculture production</p> |
| Biodiversity | <p>J. Improved market / trade system to increase access to food</p> <p>K. Habitat conservation (eg. biological corridors, community based natural resource management, protected area management)</p> |
| Human Health | <p>L. Improved surveillance and health systems response to climate-related changes in disease patterns</p> <p>M. Increased access to health products and services which address climate-related changes in disease</p> |
| Urban | <p>N. Risk assessments conducted to determine vulnerability of urban infrastructure and services to climate impacts</p> <p>O. Adaptation plans developed to address vulnerabilities identified through risk assessments</p> <p>P. Programs to share experiences with other communities related to the preparation for and the recovery from climate related disaster</p> |
| Natural Resource Management | <p>Q. Integrated landscape protection using forest resources; restoration of degraded lands; erosion control</p> <p>R. Research, policy, or regulatory reform in support of sustainable forest resource management</p> |

***** End of FY03 GCC Reporting Guidance *****